

Greg Fischer
Mayor



Virginia Peck
Director

Louisville Metro Community Services and Revitalization

March 6, 2013

Dear Community Partners:

The Louisville Metro Department of Community Services and Revitalization proudly invites non-profit agencies who serve the homeless in our community to apply for Emergency Solutions Grant (ESG) funds through this Request for Applications.

In support of Mayor Fischer's strategic plan, this Request for Applications recognizes that ESG funding should support:

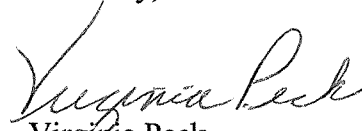
- *Taking job creation to the next level* for our most vulnerable citizens by creating an employment outcome for those leaving emergency shelter,
- *Investing in our people and neighborhoods* by ending homelessness for individuals and families and
- *Creating plans for a vibrant future* by using community input to prioritize our ESG funding according to stated community needs.

Community input was achieved through focus group participation of those utilizing emergency shelters, analysis of HMIS and Point in Time data and the completion of assessments by agencies who serve the homeless in Louisville. In response to this input and data, this RFA will prioritize:

1. The operational costs of emergency overnight and day shelters, especially those that serve intact families, and the personnel costs for these shelters to provide quality case management services,
2. The provision of prevention services to those who are at risk of homelessness and
3. The provision of street outreach services to the homeless who are unsheltered.

The attached RFA will provide instructions on eligibility for this federal funding and grant requirements, on how to apply and on where to direct any questions during the application process. Thank you for the wonderful work that you do and for applying for ESG funds.

Sincerely,


Virginia Peck
Director

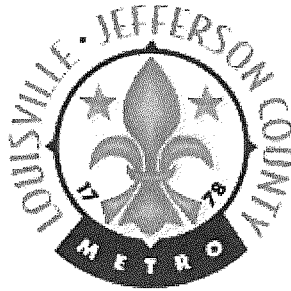
www.louisvilleky.gov/CSR

Urban Government Center 810 Barret Avenue Louisville, Kentucky 40204

Phone: 502-574-4377 Fax: 502-574-1246

LOUISVILLE METRO GOVERNMENT

EMERGENCY SOLUTIONS GRANT (ESG) REQUEST FOR APPLICATIONS



FISCAL YEAR 2014

Application Form and Program Guidelines

Emergency Solutions Grant

Community Services and Revitalization

810 Barret Ave

Louisville, KY 40204

I. INTRODUCTION

On May 20, 2009, U.S. HUD's McKinney-Vento Homeless Assistance programs were reauthorized as part of the Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act. Funding for the Emergency Shelter Grant (ESG) will continue to be distributed by the same entitlement formula for grantees such as Louisville Metro Government, however the HEARTH Act creates significant changes to the Emergency Shelter Grant program: 1) the Emergency Shelter Grant has been renamed "Emergency Solutions Grant" and, 2) eligible activities will now include homelessness prevention and re-housing, in addition to the traditional emergency shelter activities.

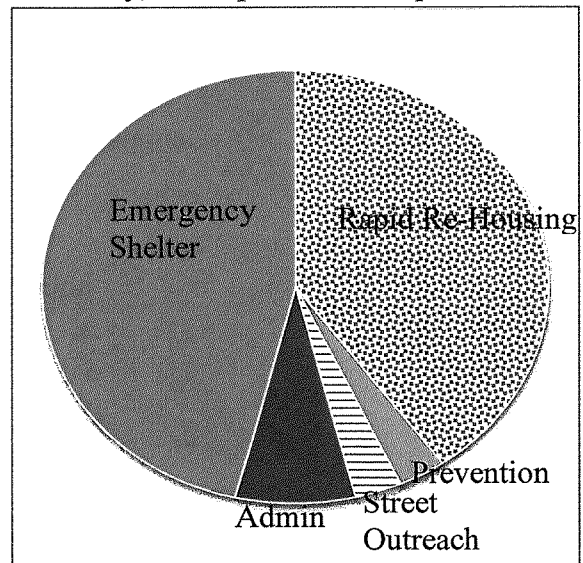
The Louisville Metro Government is issuing a Request for Applications (RFA) for funding consideration under the Emergency Solutions Grant (ESG) grant program for Fiscal Year July 1, 2013 through June 30, 2014. ESG funding from the U.S. Department of Housing and Urban Development will be available to Louisville to provide various emergency shelter and housing services for homeless persons.

Regulatory changes to both the Continuum of Care (CoC) and the Emergency Solutions Grants (ESG) funding have changed the eligibility of certain activities and projects that serve the homeless in Louisville. These changes have also caused the Department of Community Services and Revitalization (LMCSR) to re-examine funding priorities for ESG.

Through the analysis of data, the effects of regulatory changes, consumer focus groups and the assessments provided by service providers in the community; the department has prioritized the following for ESG funding:

Funding Priority Goals:

- Priority 1: Emergency Shelter
(48% of total funding)
- Priority2: Rapid Re-Housing
(29.5% of total funding)
- Priority 3: Prevention
(10% of total funding)
- Priority 4: Street Outreach
(5% of total funding)
- Priority 5: Administration
(7.5% of total funding)



These goals are approximate and the actual percentage of funding that goes to any one priority will be dependent on the applications received, the scoring process and the availability of funds. Louisville Metro Government reserves the right to change these priorities as deemed necessary. Funding for emergency shelter, street outreach and prevention will be made available through this RFA process. LMCSR has also made it a goal to increase the number of family emergency shelter beds, due to a documented shortage in the community. In addition, LMCSR is prioritizing programs that incorporate financial empowerment strategies.

LMCSR envisions strategically employing ESG funding to become a higher performing community with fewer instances of homelessness and shorter instances of homelessness when it does occur. To achieve this vision, we are prioritizing quality case management within emergency shelters and increasing the amount of funding available for both street outreach and prevention activities. LMCSR expects priorities to shift each year as needs change.

This RFA also defines benchmark outcomes that we expect all ESG sub-recipients to achieve:

ESG FY14 Outcomes and Benchmarks	
1.	25% of those leaving emergency shelter will move into permanent housing.
2.	The average length of stay in emergency shelter will be 30 days or less.
3.	25% of those leaving emergency shelter will leave with cash income.
4.	10% of those leaving emergency shelter will have employment.
5.	50% of those leaving emergency shelter will leave with non-cash benefits.
6.	85% of those leaving emergency shelter will have a known destination in HMIS.
7.	75% of those who receive prevention assistance will remain housed after 6 months.
8.	75% of those who receive street outreach assistance will move into shelter of some kind (emergency or permanent.)

II. SUBMISSION INFORMATION

A. General Instructions

For funding consideration, proposed projects must meet the general ESG eligibility requirements identified in Section V. Agencies and organizations responding to this RFA must complete the attached funding application. The application must be typed (not handwritten) with a legible typeface no smaller than 12-point type and should be sequentially numbered from the first page (checklist) to the last page. The application must be limited to 10 pages in length excluding attachments. The original must have signatures in blue ink. Incomplete applications or applications submitted after the published deadline may not be considered. Once submitted, no proposal may be amended, unless the amendment has been requested by the Grantee. Paperclip all documents. One original copy, six (6) paper copies, and one set of attachments must be submitted in sealed envelopes for each application to:

Jennifer Clark
Community Services and Revitalization
810 Barret Ave, Room 231
Louisville, KY 40204

Applications must be received by 4:00 on MARCH 25.

Funding decisions will be based on the highest rated proposals that address the RFA criteria. Evaluation and scoring will be performed by a panel of community members appointed by the Mayor. Based on recommendations provided by the RFA review panel, Louisville Metro Government reserves the right to adjust funding amounts requested based on availability of funds or as might be deemed necessary to achieve the best use of the funds. Receipt of an

award letter is not a guarantee of funding. Prior funding awards do not guarantee continued or future funding.

Louisville Metro Government, at its sole and absolute discretion, with or without cause, and without liability of any kind to any applicant, reserves the right to accept or reject any and/or all proposals either in whole or in part, waive any informalities or irregularities of any proposals, cancel this RFA at any time and/or take any action in the best interest of the city. Louisville Metro Government's decisions in all matters regarding this RFA shall be final. The city reserves the right to contact an applicant if additional information is required. Should applicants require additional proposal forms or information regarding the regulations governing the ESG program, please contact Jennifer Clark at 502-574-1959.

B. RFA Workshop and Technical Assistance

An RFA workshop and technical assistance training is being held on **March 6 at 3:00PM at 810 Barret Ave. in Room 347.**

III. GENERAL REQUIREMENTS

A. Proposals Binding

All proposals submitted shall be binding for 120 calendar days following the opening.

B. Incurred Expenses

Louisville Metro Government is not responsible for any expenses which applicant agencies may incur in the preparation and submittal of proposals requested by this RFA, including but not limited to, costs associated with travel, accommodations, interviews or presentations of proposals.

C. Contractual Agreement

Agencies approved for funding will be required to sign an agreement with the Louisville Metro Government in order to ensure compliance with ESG regulations. ESG funds may not be obligated until the agreement has been accepted and approved by **Louisville Metro Department of Community Services and Revitalization**, and then executed by the appropriate signatories. Funding is disbursed on a reimbursement basis. Costs which will be allowable for reimbursement must be incurred during the fiscal year (July 1, 2013 – June 30, 2014) and may only include items of expenditures allowed by HUD regulations governing the ESG program, as determined through negotiation of contract with the Louisville Metro Government.

D. Indemnification

Agencies approved for funding must agree to defend, indemnify and hold harmless the Louisville Metro Government, and its respective officers, agents and employees from and against all liability, claims, demands, damages, losses and expenses, including attorneys' fees, original and on appeal, arising out of, or related in any way to the performance of the agreement.

E. Program Monitoring

Applicants approved for funding will be required to maintain and submit adequate information necessary to monitor program accountability and progress in accordance with the terms and conditions of the agreement.

F. Public Records Law

In accordance with statutes KRS 61.870 to 61.884, except as may be provided by other applicable State and Federal Laws, all applicant agencies should be aware that the RFP and the responses thereto are in the public domain and are available for public inspection. Applicant agencies are requested, however, to identify specifically any information contained in their proposals which they consider confidential and/or proprietary and which they believe to be exempt from disclosure, citing specifically the applicable exempting law. All proposals received in response to this RFP will become the property of Louisville Metro Government and will not be returned. In the event of an award, all documentation produced as part of the contract will become the exclusive property of Louisville Metro Government.

G. Louisville Metro Revenue Commission

Applicants must be in good standing with the Louisville Metro Revenue Commission. To ensure your account is in good standing, contact the Louisville Metro Revenue Commission at 502-574-4857.

H. Notification of Funding

Applicants will be notified no later than **July 1, 2013** of funding recommendations. Reference the draft schedule in Section VII.

IV. GENERAL ELIGIBILITY REQUIREMENTS

A. ESG Program Objectives

The ESG program is funded by the U.S. Department of Housing and Urban Development (HUD) to increase the availability and accessibility to a suitable living environment by providing various types of assistance to homeless persons and persons at risk of becoming homeless. The objectives of the ESG program as amended by the HEARTH Act of 2009 are to increase the number and quality of emergency shelters, essential services, homeless prevention, and rapid re-housing services for homeless persons and persons who are at-risk of homelessness. Persons eligible to receive ESG services as identified in the HEARTH Act of 2009 include, but are not limited to, the following: individuals and families who are currently homeless, individuals who are chronically homeless, individuals and families who are at risk of becoming homeless, victims of domestic violence, and homeless persons with disabilities.

B. Eligible ESG Activities (24 Code of Federal Regulations [CFR] Part 576.21) of the McKinney-Vento Homeless Assistance Act as amended by the HEARTH Act of 2009 include the following, which are the activities to be funded through this RFA:

- (1) The provision of essential services related to emergency shelter or street outreach,

including services concerned with employment, health, education, family support services for homeless youth, substance abuse services, victim services, or mental health services, if (a) such essential services have not been provided by the local government during any part of the immediately preceding 12-month period or the Secretary determines that the local government is in a severe financial deficit; or (b) the use of assistance under this subtitle would complement the provision of those essential services.

(2) Maintenance, operation, insurance, provision of utilities, and provision of furnishings related to emergency shelter.

(3) Housing relocation or stabilization services for homeless individuals or families or individuals or families at risk of homelessness, including housing search, mediation or outreach to property owners, legal services, credit repair, providing security or utility deposits, utility payments, rental assistance for a final month at a location, assistance with moving costs, or other activities that are effective at (a) stabilizing individuals and families in their current housing; or (b) quickly moving such individuals and families to other permanent housing.

ESG Project Sponsors must ensure the consistent participation in the Homeless Management and Information (HMIS) system administered by the Coalition for the Homeless (unless the agency is exempt.) Finally, ESG grant funds must be matched, dollar for dollar, with locally generated amounts. These local matching funds can come from the grantee or recipient agency or organization; other federal, state and local grants; and from "in-kind" contributions such as the value of a donated building, supplies and equipment, new staff services, and volunteer time. More detailed information on the ESG program can be found at U.S. Department of Housing and Urban Development web site at the following address:

<http://www.hud.gov/offices/cpd/homeless/programs/esg/index.cfm>

V. AGENCY ELIGIBILITY CRITERIA

Agencies receiving ESG funds must meet the following requirements: 1) agency must be a private, non-profit organization with an IRS 501(c)(3) designation; 2) agency must be located in the Louisville Metro area; 3) agency must have been in operation for a minimum of two years in the State of Kentucky; 4) agency must be able to match ESG grant funds, dollar-for-dollar, with other funds and/or from "in-kind" contributions; 5) agency must not be debarred or suspended from working on federally assisted projects; and 6) agency must submit a completed Application Cover Checklist and Application.

VI. CRITERIA FOR EVALUATION OF PROPOSALS AND SCHEDULE

The ESG RFA review panel will evaluate and score the proposals accepted for review under this RFA. Funding recommendations will be based on the committee's scoring results utilizing the following criteria and scoring:

- Program demonstrates how it will meet eligibility requirements, the national objectives of the program and the goals of the department.

- Agency clearly demonstrates the need for the program.
- Agency clearly demonstrates the capacity to carry out program objectives.
- Agency's past performance with Metro funds demonstrates compliance and capacity.
- Agency shows creativity in collaboration with other organizations and future sustainability without Metro funds.
- Program budget is clear, detailed, and realistic.
- Agency shows clear outcomes to be measured.

CRITERIA	MAXIMUM POINTS
Organizational Experience and Capacity	20
Statement of Need	15
Project Description	25
Financial Records	15
Budget	25
TOTAL POINTS	100

FY14 ESG RFA SCHEDULE *	
March 6	Request for Proposals Issued
March 6	Technical Assistance Workshop at 3:30pm at 810 Barret Ave.
March 25	4:00 p.m. deadline for submitting applications. Late applications will not be considered for funding.
March 26 – April 30	Proposal Review, Funding Recommendations
July 1	Applicants are Notified of Funding Awards
July 1	FY14 begins. Contract period from July 1, 2013 – June 30, 2014.

***All dates are subject to change.**

VII. Compliance with Applicable Laws, Rules, and HUD Regulations

Applicants who are awarded funding must act in accordance with the following applicable laws, rules, and regulations for HUD programs:

- **2 CFR Part 25 and Appendix A to Part 170** – Grantee shall comply with requirements established by the Office of Management and Budget (OMB) concerning the Dun and Bradstreet Data Universal Number System (DUNS), the Central Contractor Registration (CCR) database, and the Federal Funding Accountability and Transparency Act (FFATA).
- **24 CFR Part 1 and 6, Public Law 90-284, Fair Housing Act**, the regulations issued following Title VI of the 1964 Civil Rights Act and **Section 109** of the 1975 Housing and Community Development Act that prohibits discrimination in HUD programs based on sex, race, color, national origin, and religion and administer all programs and activities in a manner to affirmatively further the policies of the Fair Housing Act.

- **24 CFR Part 7 and 41 CFR Part 60**, regulations on equal employment opportunity without regard to race sex, color, religion, age, national origin, and disability in federally assisted construction contracts.
- **24 CFR Part 24**, the regulations that prohibit use of debarred or suspended contractors on federally assisted projects and Drug Free Workplace requirements; issued according to Executive Order 12459.
- **24 CFR Part 49**, regulations on eligibility restrictions for certain resident aliens.
- **24 CFR Part 58**, the regulations prescribing the Environmental Review procedure under the National Environmental Policy Act of 1969.
 - **24 CFR Part 84 and OMB Circular A-110**, Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Non-Profit Organizations. These regulations include the Conflict of Interest provision under 24 CFR 84.42 and 570 as it applies to procurement.
- **24 CFR Part 87 and Byrd Anti-Lobbying Amendment (31 U.S.C. 1352)**, regulations for restrictions on lobbying and required certifications.
- **24 CFR Part 107 and 108**, the regulations issued following Executive Order 11063 and Executive Order 12892 which prohibits discrimination and promotes equal opportunity in housing.
- **24 CFR Part 576**, the regulations governing the Emergency Solutions Grant program.
- **36 CFR Part 800**, the regulations outlining the procedures for the protection of historic and cultural properties.
- **Administrative Procedures**, rules issued by the Louisville Metro Government in relation to process and procedures.
- **Age Discrimination Act of 1975 (42 U.S.C. 6101)**, the regulations that prohibit discrimination on the basis of age.
- **Chapters 81 and 84, of the Health and Safety Code**; Title VIII, subtitle D of the Cranston-Gonzalez National Affordable Act of 1990, and 24 CFR Part 50.
- **Clean Air Act (42 U.S.C. 7401) and the Federal Water Pollution Control Act (33 U.S.C. 1251 et seq.)**, regulations and provision that requires compliance with all applicable standards, orders, or regulations issued following the rule.
- **Copeland "Anti-Kickback" Act (18 U.S.C. 874 and 40 U.S.C. 276c)**, the regulations on contracts for construction or repair awarded by subrecipients shall include a provision for compliance with the Copeland "Anti-Kickback" Act.
- **Executive Order 13170**, regulations on increasing opportunities and access for Disadvantaged Businesses.
- **HUD requirements**, all other required reports, circulars, and procedures when applicable.

- **National Affordable Housing Act (NAHA)** PL 101-625.
- **National Flood Insurance Act of 1968, 24 CFR Part 55 under Executive Order 11988**, the regulations for proposed projects and properties located in a floodplain.
- **OMB Circular A-122**, regulations that identify cost principals for nonprofits.
- **OMB Circular A-133**, regulations concerning annual audits.
- **Residential Lead Based Paint Hazard Reduction Act of 1992**, the regulations implemented by 24 CFR Part 35, Subpart B imposes certain requirements on disclosure of lead base paint hazards.
- **Section 3 of the U.S. Housing and Urban Development Act of 1968** providing for economic opportunities for low and very low local residents in connection with assisted projects.
- **Section 504 of the Rehabilitation Act of 1973, 24 CFR Part 40 and 41**, the regulations that sets forth policies and procedures for the enforcement of standards and requirements for accessibility for disabled persons. The Architectural Barriers Act of 1968 and the American with Disabilities Act provide additional laws on accessibility and civil rights to individuals with disabilities.
- **The McKinney-Vento Homeless Assistance Act** as amended by S. 896 The Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act of 2009.
- **Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970**, policies that provide for displacement, relocation assistance, and real property acquisition as defined by 42 U.S.C. 4601 (URA) (42 U.S.C. 4601), and implementing regulations issued by the Department of Transportation at 49 CFR part 24 and section 104(d) of the Housing and Community Development Act of 1974 (42 U.S.C. 5304(d)).

**LOUISVILLE METRO FISCAL YEAR 2014
ESG PROGRAM APPLICATION COVER CHECKLIST**

NAME OF APPLICANT

ORGANIZATION: _____

NAME OF PROJECT

TITLE: _____

Please place this checklist on top of your application.

ESG Application Checklist

- ☐ Checklist – Page _____
- ☐ Agency/Project Information/Certification Cover – Page _____
- ☐ Agency Experience and Capacity – Page _____
- ☐ Statement of Need – Page _____
- ☐ Project Description – Page _____
- ☐ Financial Records – Page _____
- ☐ Budget(s) – Page _____
- ☐ Budget Narrative – Page _____

Appendices

- ☐ Articles Of Incorporation, By-Laws and Organization Chart – Page _____
- ☐ Proof of 501 (C) (3) Nonprofit Status or Proof of Public Housing Agency – Page _____
- ☐ Certification and List of Voluntary Board of Directors and Current Membership – Page _____
- ☐ Written Letters of Collaborative Partnerships, Memorandum of Understanding, etc. –
Page _____
- ☐ Most Recent Independent Audit – Page _____
- ☐ Most Recent 990 Forms filed with the IRS – Page _____
- ☐ Other – Please Specify _____
Page _____

FY 2014 ESG FUNDING APPLICATION

AGENCY INFORMATION

NAME OF ORGANIZATION: _____

ADDRESS: _____

MAILING ADDRESS: _____

PHONE: _____

FAX: _____

CONTACT PERSON/TITLE: _____

E-MAIL ADDRESS: _____

PHONE: _____

TAX IDENTIFICATION NUMBER: _____

YEAR ORGANIZATION WAS INCORPORATED: _____

PROJECT INFORMATION

PROPOSED PROJECT TITLE: _____

**AMOUNT OF ESG FUNDING REQUESTED OF THE \$
LOUISVILLE METRO GOVERNMENT:** _____

AMOUNT OF ESG FUNDING REQUESTED: _____

\$

TOTAL PROJECT COST: \$ _____

PROJECT LOCATION: _____

CERTIFYING REPRESENTATIVE *(Person authorized to sign contract, if approved):*

The undersigned applicant certifies that the information in this proposal is true and correct and the governing body of the applicant has duly authorized the document. The applicant certifies that to the best of its knowledge and belief, neither it, nor any person of which has an interest in the applicant's organization, nor any of the applicant's subcontractors, is ineligible to: 1) be awarded contracts by any agency of the United States government or HUD; or, 2) participate in HUD programs pursuant to 24 CFR Part 24. This certification is a material representation of fact upon which reliance is placed when making award. If it is later determined that the applicant knowingly rendered an erroneous certification, the contract may be terminated for default, and the applicant may be debarred or suspended from participation in HUD and other federal programs administered by the Louisville Metro Government. Additionally, the applicant certifies that it has read, understands, and agrees to comply with all federal regulations, including but not limited to 24 CFR Part 576.

NAME: <div style="text-align: center;"><i>(Please Print)</i></div>	<div style="text-align: center;"><i>(Signature – in blue ink please)</i></div>
TITLE:	DATE SIGNED:

I. Organizational Experience and Capacity**20 Points**

Describe the nature, purpose and qualifications of applicant agency. Include the following:

- a. Summarize the applicant agency's organizational background and experience.
- b. Provide evidence of demonstrated ability to perform to the requirements of federal regulations, i.e. federally funded program experience, (e.g., monitoring reports received in the past two years from local, State or Federal funding agencies.)
- c. Describe current collaborations with other agencies that serve the homeless. Provide written letters of collaborative partnerships, memorandum of understanding, etc.
- d. Provide qualifications and resumes of the project manager. Include resumes, pay scales, and job descriptions for ESG-funded positions.
- e. Does the agency have fidelity bond/employee dishonesty coverage for principles on staff who manages the organization's accounts? If so, in what amount and with which insurance agency?
- f. Provide a copy of Articles of Incorporation, By-laws, and Organizational Chart.
- g. Provide verification of 2-year non-profit status – 501 (c)(3) IRS Tax Exemption letter.
- h. Provide certification and list of voluntary Board of Directors and current membership, showing names, addresses, titles and daytime phone numbers.
- i. Provide a brief assessment of the goals, objectives and outcomes of the agency's most recent ESG-funded agreement. If any ESG funds were unexpended at contract's end, please state the amount with an explanation of why this occurred.

II. Statement of Need**15 Points**

- a. Identify and describe existing and projected needs to be addressed by the project. Include a current report of waiting list numbers for each type of program your agency provides for ESG-eligible persons.
- b. Describe methods and data sources used to identify and verify the need for this project.

III. Project Description**25 Points**

- a. Identify the specific ESG eligible activity (ies) proposed, according to those listed in Section IV. B. of this RFA and how these activities will meet the priorities and vision described in Section I. (the Introduction.)

- b. Describe the program's target population. State the number of people that will be served and the number of households if you are serving households. Describe how the program will track and meet the following outcomes, as applicable:

1.	25% of those leaving emergency shelter will move into permanent housing.
2.	The average length of stay in shelter will be 30 days.
3.	25% of those leaving emergency shelter will leave with cash income.
4.	10% of those leaving emergency shelter will have employment
5.	50% of those leaving emergency shelter will leave with non-cash benefits.
6.	85% of those leaving emergency shelter will have a known destination in HMIS
7.	75% of those who receive prevention assistance will remain housed after 6 months.
8.	75% of those who receive street outreach assistance will move into shelter of some kind (emergency or permanent.)

- c. Describe planned community outreach efforts and how clients will be referred to the program.
- d. If you will be implementing a plan to provide financial empowerment services, please describe that plan.
- e. Describe how homeless or formerly homeless persons are involved in the policy decision-making process regarding projects that receive ESG funds.
- f. Describe both current and proposed roles and responsibilities shared in collaborative partnerships with other agencies that serve homeless persons.

IV. Financial Records

15 Points

- a. Attach one copy of the most recent independent audit prepared by an actively licensed certified public accountant with the original application.
- b. Also, provide copies of the two most recent Form 990s that have been filed with the Internal Revenue Service.
- c. Provide a summary of procedures for procurement and purchasing.

V. Budget and Budget Narrative

25 Points

- a. Complete the ESG Budget Attachment, which includes a line item budget and a key personnel form.
- b. Provide a Budget Narrative that shows a clear rationale and justification for the funding request. The narrative should support the proposed budget against measurable units of services to be delivered in response to the statement of need.

- c. Describe how the program/project would continue in the long-term, with or without ESG funding support.